

HOW TO COLLECT OVERDUE 450s

(Guidance for Executive Directors and Secretaries)

Before you follow up with your SGE members about overdue 450 filing or training, you should run a Committee Report to determine who has already filed and taken training. Only notify those members who are overdue.

HOW CAN AN EXECUTIVE SECRETARY RUN A COMMITTEE REPORT?

1. Log in to the Ethics Program Tracking System (EPTS) at:
<https://eptsadmin.nssc.nasa.gov>.

Note: To log in offsite, you will need to log into VPN or SNA with your token. After you have VPN or SNA access, you can go to the "Inside NASA Headquarters" page and look under the Applications Tab for: "EPTS – Ethics Program Tracking System – Financial Disclosure Administration." You will need your Launchpad Agency User ID and Password to log into EPTS.

2. In EPTS, choose the tab at the top that says, "Reports."
3. Scroll down until you see "Committee Report."
4. In the "Committee Name" Box, choose your Committee from the drop down list.
5. Choose the type of report you want to run in "Filing Status."
6. Note: If you don't see the Chair on the report, he or she may be listed on the parent committee. You can run that report to check.
7. If the employee has filed, there will be a date in the "Employee Filed Date" Column. That column will be blank (and the form status will say "new") if the employee has not yet filed.
8. Note: You can also use this report to check the status of ethics training. See the handout for Executive Secretaries entitled "How to Handle Make-up Training."

IS THERE A WAY AN EXECUTIVE SECRETARY CAN SEE IF THE NSSC SENT THE SGE A NOTICE TO FILE?

1. Log into EPTS at <https://eptsadmin.nssc.nasa.gov>.
2. Choose the Tab for "Forms Administration."
3. Search for the SGE's record by name.
4. Click on the link to the SGE's record.
5. Look in middle of the SGE's record for "View Sent Letter History" in red.
6. Click on that link to see all email notification letters to a filer.
7. Also check the SGE's record to make sure the email address is correct. If not, change the email address (and "save") in the "Manage Filers" Tab. If the email address was wrong, then the SGE did not receive the message and you should send it to him or her again yourself.

HOW SHOULD AN EXECUTIVE SECRETARY COLLECT OVERDUE FORMS?

Starting on January 2nd, you should personally contact every SGE who has not filed, and tell him or her that the 450 form is overdue and must be filed either electronically or in paper immediately. If you do not get a response to an email, you should phone the SGE to talk with him or her personally. Keep checking the EPTS committee report to see who has filed and follow up until the form is filed. Every form must be filed immediately because NASA must submit an annual Agency Report showing 100% SGE filing and training compliance.

SGEs must file a financial disclosure report and take one hour of ethics training each calendar year to continue serving on a Federal Advisory Committee.

Guidance for SGEs on how to file the 450 form electronically or in paper is under the Ethics Section of the NASA OGC website.

If, after your best follow-up efforts, you still are having trouble getting an SGE to file the 450 form or take training, seek assistance from the Executive Director of your Committee or Diane Rausch, the Committee Management Officer.

WHAT IF THE SGE SENDS ME A SCANNED OR FAXED COPY OF THE FORM INSTEAD OF MAILING THE ORIGINAL SIGNED & DATED PAPER FORM TO THE NSSC?

NASA cannot accept a scanned or faxed copy. We must have the original. Contact the SGE immediately and instruct him or her to mail the original, signed/dated form to the NASA SHARED SERVICES CENTER at the following address:

NASA SHARED SERVICES CENTER (NSSC)
HR-Financial Disclosures
C Road, Bldg 1111
Stennis Space Center, MS 39529

Note: It is strongly recommended that the SGE use some type of express mail service (such as FEDEX, UPS, Postal Express Mail, etc.) to track delivery.

**WHAT IF THE SGE MAILES OR GIVES ME IN PERSON (INSTEAD OF THE NSSC)
THE ORIGINAL SIGNED & DATED PAPER FORM?**

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1. Write the date you received the form in the box at the top entitled "Date Received by the Agency" and initial it.
 2. Scan in and send an advance copy to the NSSC at their secure e-mail (nssc@nasa.gov) or secure fax at 1-866-779-6772. (The NSSC must scan in the form to start the tracking and reviewing process in EPTS.)
 3. Put in the email or fax cover sheet "Attention: Financial Disclosure Team." Also identify the SGE's Committee and the Executive Secretary of the Committee.
 4. **Then, send the original signed 450 form via some type of official express mail to the address above for the NSSC.**
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